

# KENTUCKY OFFICE OF HOMELAND SECURITY

## KENTUCKY EXERCISE SUPPORT PROGRAM

As an integral component of the Kentucky Exercise and Evaluation Program (KY-HSEEP), the Kentucky Office of Homeland Security has established the Kentucky Exercise Support Program (KY-ESP) to encourage and collaborate with local stakeholder exercise initiatives. This program provides direct support to regional and local exercise initiatives within the Commonwealth. As with KY-HSEEP, the KY-ESP utilizes U.S. Department of Homeland Security exercise methodology to ensure consistency with state exercise strategy and national exercise performance standards. This program, which is implemented by the Kentucky Homeland Security Exercise and Evaluation Program (KY-HSEEP) Team, provides a variety of support services to assist in planning, developing, conducting, and evaluating all types of preparedness exercises. The KY-HSEEP Team is comprised of various state-level agencies and organizations that possess expertise in both traditional and non-traditional first response disciplines. This combination of subject matter experts brings an extensive knowledge base to bear on statewide exercise development.

A list of exercise types eligible for 2005-2006 support is provided in Appendix A as a reference for completing the KY-ESP Application. The list defines each exercise type, and specifies the scope of work, level of involvement, and advantages of conducting each type of exercise based on need. For additional information on exercise types, refer to the KY-HSEEP documentation located at: [www.HomelandSecurity.ky.gov](http://www.HomelandSecurity.ky.gov)

The Kentucky Office of Homeland Security, in conjunction with the Governor's Exercise Team, will review all applications. Application completeness, strategic relevance, logistical feasibility, and fiscal requirements will be primary factors of consideration. If the application is incomplete, it will be returned to the requesting party for editing and resubmission. Please submit answers for ALL questions. Once a completed application is received, it will be assigned a KY-HSEEP tracking number. A confirmation e-mail, including the KY-HSEEP tracking number, will be sent to the requestor within 1 week. The applicant will be informed within thirty (30) working days, through an e-mail notification, as to the status of the support application. Any questions regarding the KY-HSEEP, the KY-ESP Application Process, or an individual application should be directed to:

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## APPLICATION INSTRUCTIONS

Use the following instructions to complete the KY-ESP Application:

- Question 1     Insert the name of the legal entity requesting direct support.
- Question 2     Insert the name of the application point of contact.
- Question 3     Provide the specific location of the exercise. If a location is not yet known, please provide the city and state.
- Question 4     Provide the date, preferred date, or estimated date of exercise conduct.
- Question 5     Briefly state the purpose of the exercise.
- Question 6     Indicate the type of exercise being applied for.
- Question 7     Indicate the scope of the exercise. Check all items that apply.
- Question 8     Indicate the focus of the exercise. Check all items that apply.
- Question 9     Indicate the scenario type. Check all items that apply.
- Question 10    List and explain any non-ODP Federal program requirements that this exercise will meet.
- Question 11    Indicate whether the exercise is being conducted to prepare for a specific special event.
- Question 12    Explain how the proposed exercise provides a direct linkage to the State Homeland Security Strategy and State Multi-year Exercise Plan.
- Question 13    Indicate how many direct support exercises have been provided to the applicant by the KY-ESP.
- Question 14    Explain why the proposed exercise should be funded by the KY-ESP.
- Question 15    Indicate the estimated number of participating agencies and municipalities.
- Question 16    List the names of participating agencies and municipalities.

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## KY-ESP APPLICATION

1. Legal name of entity/jurisdiction requesting exercise support:

2. Exercise Point of Contact Information:

Name:

Position:

Agency:

Address:

City:

State:

Phone:

Fax:

Email:

3. Exercise location:

4. Exercise start date:

5. What is the purpose for conducting this exercise?

6. Please indicate the type of the exercise requested:

- a. ☐ Seminar
- b. ☐ Tabletop
- c. ☐ Functional/Command Post
- d. ☐ Full-Scale
- e. ☐ Other (please specify)

7. Please indicate the anticipated scope of the exercise (check all that apply):

- a. ☐ Local ONLY (Only local agencies are included in play)
- b. ☐ State/local (State and local agencies are included in play)
- c. ☐ Federal/State/local (Federal, State, and local agencies are included in play)
- d. ☐ Tribal (Nations recognized by the Bureau of Indian Affairs are included in play)
- e. ☐ Regional (Multiple regions within the Commonwealth included in play)
- f. ☐ Multi-State (One or more States are included in play)
- g. ☐ Other (Please specify):

8. What is the focus of the exercise (check all that apply):

- a. ☐ Prevention and deterrence
- b. ☐ Response
- c. ☐ Recovery

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9. Please indicate the scenario type (check all that apply):

- a. ☐ Chemical
- b. ☐ Biological
- c. ☐ Radiological
- d. ☐ Nuclear
- e. ☐ Explosive
- f. ☐ Agriculture
- g. ☐ Cyber
- h. ☐ Other (Please specify)

10. Does this exercise address other non-KY-HSEEP exercise requirements?

- a. ☐ No
- b. ☐ Yes (If yes, please list and explain)

11. Will the exercise be used to prepare for a specific special event?

- a. ☐ Yes (If yes, provide explanation)
- b. ☐ No

12. Please explain how the proposed exercise provides a direct linkage to the Kentucky Office of Homeland Security State Strategic Plan:

13. How many direct support exercises have been provided to the applicant by KY-HSEEP?

- a. ☐ The applicant has not received any direct support exercises.
- b. Total number of Tabletop Exercises
- c. Total number of Functional Exercises
- d. Total number of Full-Scale Exercises

14. Please explain why this exercise should be supported by the KY-ESP:

15. Please indicate the number of participating agencies/municipalities:

16. Please list the names of participating agencies and jurisdictions:

### OFFICIAL USE ONLY

Administrative:

Strategic:

Fiscal/Logistical:

GET:

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## APPENDIX A

### A.1 Discussion-Based Exercises

Discussion-based exercises are normally used as a starting point in the building block approach to the cycle, mix, and range of exercises. Discussion-based exercises include seminars, workshops, tabletop exercises (TTX), and games. These types of exercises typically highlight existing plans, policies, mutual aid agreements, and procedures. Thus, they are exceptional tools for familiarizing agencies and personnel with current or expected jurisdictional capabilities. Discussion-based exercises typically focus on strategic, policy-oriented issues; operations-based exercises tend to focus more on tactical response-related issues. Facilitators and/or presenters usually lead the discussion, keeping participants on track while meeting the objectives of the exercise.

#### A.1.1 Seminars

Seminars are generally employed to orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, response resources, or concepts and ideas. Seminars provide a good starting point for jurisdictions that are developing or making major changes to their plans and procedures. They offer the following attributes:

- Low-stress environment employing a number of instruction techniques such as lectures, multimedia presentations, panel discussions, case study discussions, expert testimony, and decision support tools
- Informal discussions led by a seminar leader
- Lack of time constraints caused by real-time portrayal of events
- Effective with both small and large groups

#### A.1.2 Tabletop Exercises (TTX)

TTXs involve senior staff, elected or appointed officials, or other key personnel in an informal setting, discussing simulated situations. This type of exercise is intended to stimulate discussion of various issues regarding a hypothetical situation. It can be used to assess plans, policies, and procedures or to assess types of systems needed to guide the prevention of, response to, and recovery from a defined event. TTXs are typically aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and/or achieving a change in attitude. Participants are encouraged to discuss issues in depth and develop decisions through slow-paced problem solving rather than the rapid, spontaneous decision making that occurs under actual or simulated emergency conditions. In contrast to the scale and cost of operations-based exercises and games, TTXs can be a cost-effective tool when used in conjunction with more complex exercises. The effectiveness of a TTX is derived from the energetic involvement of participants and their assessment of recommended revisions to current policies, procedures, and plans.

TTX methods are divided into two categories: basic and advanced. In a basic TTX, the scene set by the scenario materials remains constant. It describes an event or emergency incident and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented the leader/moderator, problems are discussed as a group, and resolution is generally agreed on and summarized by the leader. In an advanced

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TTX, play focuses on delivery of prescribed messages to players that alter the original scenario. The exercise controller (moderator) usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the problem, using appropriate plans and procedures. TTX attributes may include:

- Practicing group problem solving
- Familiarizing senior officials with a situation
- Conducting a specific case study
- Examining personnel contingencies
- Testing group message interpretation
- Participating in information sharing
- Assessing interagency coordination
- Achieving limited or specific objectives

## A.2 Operations-Based Exercises

Operations-based exercises represent the next iteration of the exercise cycle; they are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercises. Operations-based exercises include drills, functional exercises (FE), and Full-Scale exercises (FSE). They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual response, mobilization of apparatus and resources, and commitment of personnel, usually over an extended period of time.

### A.2.1 Functional Exercises

The FE, also known as a command post exercise (CPX), is designed to test and evaluate individual capabilities, multiple functions or activities within a function, or interdependent groups of functions. FEs are generally focused on exercising the plans, policies, procedures, and staffs of the direction and control nodes of Incident Command (IC) and Unified Command (UC). Generally, events are projected through an exercise scenario with event updates that drive activity at the management level. Movement of personnel and equipment is simulated.

The objective of the FE is to execute specific plans and procedures and apply established policies, plans, and procedures under crisis conditions, within or by particular function teams. An FE simulates the reality of operations in a functional area by presenting complex and realistic problems that require rapid and effective responses by trained personnel in a highly stressful environment. Attributes of an FE include:

- Evaluating functions
- Evaluating Emergency Operations Centers (EOC), headquarters, and staff
- Reinforcing established policies and procedures
- Measuring resource adequacy
- Examining inter-jurisdictional relationships

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### A.2.2 Full-Scale Exercises (FSE)

The FSE is the most complex step in the exercise cycle. FSEs are multi-agency, multi-jurisdictional exercises that test many facets of emergency response and recovery. They include many first responders operating under the ICS or Unified Command System (UCS) to effectively and efficiently respond to, and recover from, an incident. An FSE focuses on implementing and analyzing the plans, policies, and procedures developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. The events are projected through a scripted exercise scenario with built-in flexibility to allow updates to drive activity. It is conducted in a real-time, stressful environment that closely mirrors a real event. First responders and resources are mobilized and deployed to the scene where they conduct their actions as if a real incident had occurred (with minor exceptions). The FSE simulates the reality of operations in multiple functional areas by presenting complex and realistic problems requiring critical thinking, rapid problem solving, and effective responses by trained personnel in a highly stressful environment. Other entities that are not involved in the exercise, but who would be involved in an actual event, should be instructed not to respond.

An FSE provides an opportunity to execute plans, procedures, and cooperative (mutual aid) agreements in response to a simulated live event in a highly stressful environment. Typical FSE attributes include:

- Assessing organizational and individual performance
- Demonstrating interagency cooperation
- Allocating resources and personnel
- Assessing equipment capabilities
- Activating personnel and equipment
- Assessing inter-jurisdictional cooperation
- Exercising public information systems
- Testing communications systems and procedures
- Analyzing memorandums of understanding (MOU), SOPs, plans, policies, and procedures
- The level of support needed to conduct an FSE is greater than needed during other types of exercises. The exercise site is usually extensive with complex site logistics. Food and water must be supplied to participants and volunteers. Safety issues, including those surrounding the use of props and special effects, must be monitored.

FSE controllers ensure that participants' behavior remains within predefined boundaries. Simulation Cell (SIMCELL) controllers continuously inject scenario elements to simulate real events. Evaluators observe behaviors and compare them against established plans, policies, procedures, and standard practices (if applicable). Safety controllers ensure all activity is executed within a safe environment.